



State of Nevada – Department Of Personnel

CLASS SPECIFICATION

<u>TITLE</u>	<u>GRADE</u>	<u>EEO-4</u>	<u>CODE</u>
SUPERVISORY COMPLIANCE/ENFORCEMENT INVESTIGATOR	38	D	11.293
COMPLIANCE/ENFORCEMENT INVESTIGATOR III	37	D	11.294
COMPLIANCE/ENFORCEMENT INVESTIGATOR II	36	D	11.295
COMPLIANCE/ENFORCEMENT INVESTIGATOR I	34	D	11.296

SERIES CONCEPT

Compliance/Enforcement Investigators perform investigative and enforcement functions to monitor compliance and enforce violations of State and/or federal laws, rules or regulations pertaining to a specific program or regulatory area. The investigative/enforcement process is initiated following a formal complaint, suspected violation or while conducting routine patrol, inspections, or surveillance activities utilizing standard investigative and enforcement techniques.

Receive and review formal complaints and make determinations regarding possible regulatory violations, criminal activity and jurisdiction within specified program area; gather and analyze background information and facts pertaining to the complaint.

Conduct routine patrol to detect violations of State and federal laws, rules and regulations. Enforcement actions involve verbal or written warnings, issuing citations, arrest, mechanical repair orders, and/or placing vehicle out-of-service pending repairs. Enforcement action is determined at the investigator's discretion, consistent with appropriate laws, rules, regulations, policy and procedure.

Conduct interviews with complainants, witnesses, employers, suspects, State and local governmental agencies and other sources to obtain information regarding violations or noncompliance; develop leads and facts pertaining to case to prove a violation or criminal activity exists.

Develop case files and maintain case logs and reports; place evidence in case file along with chronological documentation regarding investigative steps taken and all contact made with complainant, respondent, witness and other sources; develop final case reports and further criminal prosecution.

Gather evidence such as photographs, witnesses statements, business records, sales transactions, receipts, personnel files, vehicle registration and/or maintenance records, criminal history files, and other pertinent records or documents to develop trends, patterns and to support complaint or enforcement actions.

Perform surveillance and/or covert activities by visually observing and recording information, taking photographs, and/or requesting services to gather facts, evidence or develop leads.

Conduct background investigations on individuals by gathering information regarding personal and criminal history, business activities, previous and current complaints or program violations; review business records, personnel records, vehicle records, required licenses, certificates, insurance, and other related documents, prepare reports and make recommendations based on State or federal program laws, rules or regulations.

Prepare various reports such as daily activity summaries, criminal/incident investigations, arrest reports, and inspection reports. Information is utilized to develop statistical data, individual performance appraisals and to substantiate program budget expenditures.

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SERIES CONCEPT (cont'd)

Perform inspections of vehicles, drivers and business operations to ensure compliance with State and federal laws, rules, and regulations; conduct inspections visually and/or with the use of hand tools or other methods to determine compliance or extent of violation and take appropriate enforcement actions.

Obtain and execute legal documents such as arrest warrants, search warrants, subpoenas, and criminal complaints to continue the criminal justice process for any subsequent criminal prosecution.

Perform general police work as a secondary role to include enforcement of traffic and criminal laws and, as necessary, initiate appropriate legal action on observed violations.

Perform related duties as assigned.

Enforcement powers are that of Peace Officers and have police powers for the enforcement of the provisions of the Nevada Revised Statutes relating to their specific program area and any observed criminal activity. Investigators carry firearms in the performance of their duties; may operate an authorized emergency vehicle and must meet Category II P.O.S.T. certification requirements.

CLASS CONCEPTS

Supervisory Compliance/Enforcement Investigator: Under limited supervision of a Chief Investigator or administrator, incumbents perform the full range of duties described in the series concept and, in addition, act as first line supervisor. This class is distinguished from lower level investigators by the level of supervision exercised over a staff of investigators and program personnel in a regional or district office.

Serve as a first-line supervisor in the class series and independently conduct or monitor specialized investigative functions dealing with the more difficult assignments involving cases of a high profile or sensitive nature or involving multiple program or criminal violations.

Review initial complaints and assign cases to lower level investigators; monitor and direct staff regarding procedures and appropriate course of action; review and check final investigative reports for accuracy, clarity and format to ensure policy and procedure is followed.

The Supervisory Compliance/Enforcement Investigator is further distinguished from lower level investigators by providing training to new investigators, preparing performance reviews, supervising and coordinating the investigation process and making final recommendations to the Chief or Program Administrator regarding investigative reports and final determinations. The Supervisory Investigators utilize extensive knowledge of industry standards and case history to recommend or develop new and/or revised policy, procedure and proposed legislation to aid in the compliance and control of program areas.

Compliance/Enforcement Investigator III: Incumbents perform the full range of duties in the series concept, and in addition, under limited direction of the Supervisory Compliance/Enforcement Investigator, act as a lead worker and perform specialized investigations dealing with complex and/or multiple program violations or criminal activity. Duties require an extensive knowledge of State and federal laws, case law, program rules and regulations, industry standards, concepts and practices to conduct detailed investigations. Final reports are reviewed by the Supervising Investigator.

This is the leadworker/advanced journey level in the series and is distinguished from the lower level investigators by making determinations on the level and extent of an investigation. Incumbents act as a leadworker by providing training, supervision, or coordinating the work of Compliance/Enforcement

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CLASS CONCEPTS (cont'd)

Compliance/Enforcement Investigator III (cont'd)

Investigator II's and I's while conducting investigative functions. May review final investigative reports for accuracy, clarity, format, and to ensure policy and procedure is followed. May provide assistance to lower level investigators regarding case preparation and presentation in a court of law.

Compliance/Enforcement Investigator II: This is the journey level in the series. Incumbents receive general supervision and perform all duties described in the class series concept.

Compliance/Enforcement Investigator I: This is the entry level in the series. Incumbents receive training in the duties described in the series concept. Employees in the class may progress semi-automatically into the journey level investigator class upon successful completion of their probationary period and approval of the appointing authority.

MINIMUM QUALIFICATIONS

SPECIAL NOTES AND REQUIREMENTS:

- * Pursuant to NRS 284.4066, all positions in this series have been identified as affecting public safety. Persons offered employment in this series must first submit to a pre-employment screening test for controlled substances.
- * Applicants must meet current Peace Officer Standards & Training (P.O.S.T.) requirements as established in the Nevada Revised Statutes and Nevada Administrative Code.
- * Applicants must possess a valid driver's license at the time of appointment and throughout employment.
- * A quarterly qualifying score of 70 or better with a firearm will be required.

SUPERVISORY COMPLIANCE/ENFORCEMENT INVESTIGATOR

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university with major course work in criminal justice, police science, psychology, business administration or closely related field and three years of investigative, law enforcement, or program related experience where standard investigative and enforcement techniques were utilized to make program compliance determinations, enforcement of state and federal laws, preparation of detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Determinations are based on evidence collected, applying laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in law enforcement, investigative, regulatory or comparable setting; **OR** high school graduation or equivalent (GED) and five years of experience as outlined above; **OR** one year as a Compliance/Enforcement Investigator III in Nevada State service; **OR** an equivalent combination of education and experience. (*See Special Notes and Requirements*)

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application):

Thorough knowledge of: federal and State laws applicable to arrest, rules of evidence, traffic stops, rights of citizens, court procedures and general law enforcement. **Knowledge of:** traffic safety laws; recordkeeping practices to obtain and store needed investigations and documents. **Ability to:** use and operate the tools and equipment necessary to perform and train others in the routine and detailed inspections of vehicles; gain the respect of others; negotiate and formulate complaint resolution; explain methods and requirements for compliance of agency policy; *and all knowledge, skills and abilities required at the lower levels.*

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MINIMUM QUALIFICATIONS (cont'd)

SUPERVISORY COMPLIANCE/ENFORCEMENT INVESTIGATOR (cont'd)

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):

Detailed knowledge of: Nevada Revised Statutes, agency policy and procedures, and federal laws or regulations that pertain to the program area. **Knowledge of:** supervisory principles and practices as well as State personnel policy necessary to supervise subordinate personnel; personnel management and supervision. **Ability to:** handle the more complex casework assignments which are of a sensitive or high profile nature or that involve multiple violations or complaints; maintain good working relationships with other law enforcement agencies, government officials, the judicial system, and the general public; provide in-service training to subordinate staff on investigative methods and court room procedures; prepare and implement policy and procedures when needed; motivate others to take appropriate action; assist in the development of program goals, objectives, plans, budgets and operating policies and procedures; communicate program goals, policy and procedure to subordinate staff as well as the public.

COMPLIANCE/ENFORCEMENT INVESTIGATOR III

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university with major course work in criminal justice, police science, psychology, business administration or closely related field and two years of investigative, law enforcement, or program related experience where standard investigative and enforcement techniques were utilized to make program compliance determinations, enforcement of state and federal laws, preparation of detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Determinations are based on evidence collected, applying laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in law enforcement, investigative, regulatory or comparable setting; **OR** high school graduation or equivalent (GED) and four years of experience as outlined above; **OR** one year as a Compliance/Enforcement Investigator II in Nevada State service; **OR** an equivalent combination of education and experience. *(See Special Notes and Requirements)*

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application):

Knowledge of: civil law and related criminal law to enforce program regulations as well as to ensure State and federal compliance through knowledge of the methods and practices of effective investigations and what constitutes legal evidence; where to go within the organization for needed information; record keeping practices to obtain and store needed investigative reports and documents; computer usage and program related terminology to access and input required data. **Ability to:** prioritize numerous assignments and make needed adjustments; work independently with minimal supervision; maintain equanimity in the face of resistance, indifference and hostility; handle and resolve complaints from consumers, business representatives and other state and local agencies; delegate responsibility; *and all knowledge, skills and abilities required at the lower levels.*

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):

Extensive knowledge of: program laws, regulations and rules at the State, federal and/or national level. **Knowledge of:** supervisory principles and practices; complex auditing procedures and investigative techniques involving falsified, altered or misleading documents, transactions, accounting or business records; corporate structure and business operations; policy and procedure as it relates to conducting business as it relates to the program area. **Ability to:** plan and direct the activities of subordinates regarding investigative and auditing functions; summarize complicated factual data and present recommendations clearly; present meaningful solutions toward improvement and/or resolution of operational procedures; gain and maintain the confidence and cooperation of a variety of business and management officials contacted in the course of work; effectively present complicated and technical information to management, employees and public officials.

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MINIMUM QUALIFICATIONS (cont'd)

COMPLIANCE/ENFORCEMENT INVESTIGATOR II

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university with major course work in criminal justice, police science, psychology, business administration or closely related field and one year of investigative, law enforcement, or program related experience where standard investigative and enforcement techniques were utilized to make program compliance determinations, enforcement of state and federal laws, preparation of detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Determinations are based on evidence collected, applying laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in a law enforcement, investigative, regulatory or comparable setting; **OR** high school graduation or equivalent (GED) and three years of experience as outlined above; **OR** one year as a Compliance/Enforcement Investigator I in Nevada State service; **OR** an equivalent combination of education and experience. *(See Special Notes and Requirements)*

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application):

Knowledge of: investigative principles and accepted practices; office procedures, methods and equipment; federal regulations governing traffic enforcement and motor vehicle registration, including commercial motor vehicles; criminal law to include court procedures, laws of arrest, rules of evidence, search and seizure, confiscation of stolen property, and the legal rights of citizens; the use of force; the appropriate use and care of equipment such as firearms, handcuffs, radios, and patrol vehicle; interviewing and interrogation techniques. **Ability to:** establish and maintain effective courteous working relationships; secure facts by personal contact, observation and checking of records; interpret pertinent laws, rules, and regulations for compliance; maintain equanimity in the face of resistance, indifference or hostility; follow oral and written instructions; *and all knowledge, skills and abilities required at the lower level.*

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):

Knowledge of: program related rules and regulations as well as State and federal laws; program terminology; where to obtain needed information or documents required to substantiate or negate program violations. **Ability to:** conduct surveillance activities and utilize appropriate equipment; read and interpret legal documents such as court orders, complaints or judgments; obtain and serve legal documents such as arrest warrants, subpoenas and affidavits; work in a high stress environment; work independently and follow through on assignments with minimal direction; prioritize assignments with a changing workload and deadlines; recognize emergency situations and take appropriate action; reason persuasively and convince others to take corrective action; analyze and interpret tariff structures.

COMPLIANCE/ENFORCEMENT INVESTIGATOR I

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university with major course work in criminal justice, police science, psychology, business administration or closely related field; **OR** high school graduation or equivalent (GED) and two years of experience of investigative, law enforcement, or program related experience where standard investigative and enforcement techniques were utilized to make program compliance determinations, enforcement of state and federal laws, preparation of detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Determinations are based on evidence collected, applying laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in a law enforcement, investigative, regulatory or comparable setting; **OR** an equivalent combination of education and experience. *(See Special Notes and Requirements)*

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MINIMUM QUALIFICATIONS (cont'd)

COMPLIANCE/ENFORCEMENT INVESTIGATOR I (cont'd)

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application):

General knowledge of: investigative techniques as applied to gathering facts and information.

Knowledge of: the functions and practices of various law enforcement and criminal justice agencies.

Ability to: write concise, logical, grammatically correct reports; speak on a one-to-one basis using appropriate vocabulary and grammar; record information quickly and accurately; read and interpret statutes as related to program areas to make compliance determinations; speak with individuals of various social, cultural, economic and educational backgrounds.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):

General knowledge of: program rules and regulations; State and federal laws pertaining to the program area. **Knowledge of:** agency record keeping practices; current principles and practices of criminal investigations, legal framework of the law, and court procedures. **Ability to:** maintain cooperative working relationships with staff members; discuss and explain program rules and regulations to persons of various backgrounds; work independently; work as part of a team; complete required forms and documents; review and analyze complaints for possible program or statutory violations; interview complainants, investigate complaints and correspond with complainants and company representatives.

This class specification is used for classification, recruitment and examination purposes. It is not to be considered a substitute for work performance standards for positions assigned to this class.

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ESTABLISHED:	7/1/91P 10/19/90PC	7/1/91P	7/1/91P 10/19/90PC	7/1/91P 10/19/90PC
REVISED:	2/15/91PC	2/15/91PC		
REVISED:	11/15/91PC	11/15/91PC	11/15/91PC	11/15/91PC
REVISED:	7/1/97LG	7/1/97LG	7/1/97LG	7/1/97LG
REVISED:	3/29/01UC	3/29/01UC	3/29/01UC	3/29/01UC